

PATENT APPLICATION
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: Q78093

David SHAFER, et al.

Appln. No.: 10/576,265

Group Art Unit: 2872

Confirmation No.: 3625

Examiner: Not Yet Assigned

Filed: May 22, 2007

For: CATADIOPTRIC PROJECTION OBJECTIVE

REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT

ATTN: Office of Initial Patent Examination
Filing Receipt Correction
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

We enclose a copy of the Official Filing Receipt for the above-identified application and request the following corrections:

Assignment For Published Patent Application

CARL ZEISS SMT AG

Domestic Priority data as claimed by applicant

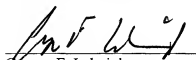
This application is a 371 of PCT/EP04/11587 10/15/2004 which claims benefit of
60/511,673 10/17/2003

Verification for the requested correction(s) is indicated on the Assignment and the Declaration and Power of Attorney for Patent Application filed May 22, 2007.

REQUEST FOR CORRECTED OFR
U.S. Appln. No.: 10/576,265

Attorney Docket No.: Q78093

Respectfully submitted,

A handwritten signature in black ink, appearing to read "G. F. Lehnigk", is written over a horizontal line.

George F. Lehnigk
Registration No. 36,359

SUGHRUE MION, PLLC
Telephone: (202) 293-7060
Facsimile: (202) 293-7860

WASHINGTON OFFICE

23373

CUSTOMER NUMBER

Date: January 18, 2008



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
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APPL NO.	FILING OR 371(c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLMS	IND CLMS
10/576,265	05/22/2007	2872	1030	Q78093	14	1

CONFIRMATION NO. 3625

FILING RECEIPT



OC000000025595325

23373
 SUGHRUE MION, PLLC
 2100 PENNSYLVANIA AVENUE, N.W.
 SUITE 800
 WASHINGTON, DC 20037

DOCKETED

SEP - 6 2007

Date Mailed: 09/04/2007

Receipt is acknowledged of this nonprovisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

David Shafer, Fairfield, CT;
 Alexander Epple, Aalen, GERMANY;
 Aurelian Dodoc, Oberkochen, GERMANY;
 Wilhelm Ulrich, Aalen, GERMANY;
 Karl-Heinz Schuster, Koenigsbronn, GERMANY;

Assignment for Published Patent Application
 CAPL 26133 SMT AG

Power of Attorney: The patent practitioners associated with Customer Number 23373.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/EP04/11587 10/15/2004 which claims benefit of
 601511, 643 10/17/2003

Foreign Applications

If Required, Foreign Filing License Granted: 08/28/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/576,265**

Projected Publication Date: 12/06/2007

Non-Publication Request: No

Early Publication Request: No

Title

Catadioptric Projection Objective

Preliminary Class

359

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted

under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

Docket No. Q78093
For Non-U.S. Clients

Assignment

Whereas, I/We, David SHAFER, Alexander EPPLÉ, Aurelian DODOC, Wilhelm ULRICH, and Karl-Heinz SCHUSTER of Fairfield, CONNECTICUT; Aalen, GERMANY; Oberkochen, GERMANY; Aalen, GERMANY; and Koenigsbronn, GERMANY; respectively, hereinafter called assignor(s), have invented certain improvements in

CATADIOPTRIC PROJECTION OBJECTIVE

and executed an application for Letters Patent of the United States of America therefor; and

Whereas, CARL ZEISS SMT AG, of Carl-Zeiss-Strasse 22, 73447 Oberkochen, FEDERAL REPUBLIC OF GERMANY (assignee), desires to acquire the entire right, title, and interest in the application and invention, and to any United States patents to be obtained therefor;

Now therefore, for valuable consideration, receipt whereof is hereby acknowledged,

I/We, the above named assignor(s), hereby sell, assign and transfer to the above named assignee, its successors and assigns, the entire right, title and interest in the application and the invention disclosed therein for the United States of America, including the right to claim priority under 35 U.S.C. §119, and I/we request the Director of the U.S. Patent and Trademark Office to issue any Letters Patent granted upon the invention set forth in the application to the assignee, its successors and assigns; and I/we will execute without further consideration all papers deemed necessary by the assignee in connection with the United States application when called upon to do so by the assignee.

I/We hereby authorize and request our attorneys SUGHRUE MION, PLLC of 2100 Pennsylvania Avenue, NW, Washington, DC 20037-3213 to insert here in parentheses (Application number 10/576,265, filed April 17, 2006) the application number and filing date of said application when known.

Date:

s/David SHAFER

Date:

July 13, 2006

s/Alexander EPPLÉ

Date:

Aug 04, 2006

s/Aurelian DODOC

Date:

July 11th, 2006

s/Wilhelm ULRICH

Date:

July 12th, 2006

s/Karl-Heinz SCHUSTER

(Legalization not required for recording but is prima facie evidence of execution under 35 U.S.C. §261)

Docket No.: Q78093

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION (37 C.F.R. 1.63)

Erklärung und Vollmacht für Patentanmeldung (37 C.F.R. 1.63)

German Language Declaration

Ich erkläre hiermit:

I hereby declare that:

dass der Wohnsitz, die Postanschrift und die Staatsangehörigkeit jedes Erfinders den im Nachstehenden nach deren Namen aufgeführten Angaben entsprechen, dass, nach bestem Wissen, die nachstehend genannten Erfinder die ursprünglichen und ersten Erfinder des Gegenstandes sind, der beansprucht wird und für den ein Patent für die Erfindung mit folgendem Titel beantragt wird:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

CATADIOPTRIC PROJECTION OBJECTIVE WITH REAL INTERMEDIATE IMAGES

☐ wobei der Anmeldetext hier beigefügt ist,

ODER

☐ wobei das Patent am _____ unter der US-Anmeldenummer oder unter der Internationalen Anmeldenummer im Rahmen des Vertrags über die Zusammenarbeit auf dem Gebiet des Patentwesens (PCT) _____ (Bestätigungsnr. _____) angemeldet wurde und am _____ abgeändert wurde (falls zutreffend).

☐ the specification of which is attached hereto

OR

☒ was filed on October 15, 2004 as United States Application Number or PCT International Application Number PCT/EP2004/011587 (Confirmation No. not yet assigned), and was amended on _____ (if applicable).

Ich bestätige hiermit, dass ich den Inhalt des oben angegebenen Anmeldetextes, einschließlich der Ansprüche, die gegebenenfalls, wie oben erwähnt, abgeändert wurden, überprüft und verstanden habe.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

Ich erkenne meine Pflicht zur Offenbarung jeglicher Informationen an, die zur Prüfung der Patentfähigkeit in Einklang mit 37 C.F.R. 1.56 von Belang sind, einschließlich derjenigen, die sich aus einer Continuation-in-Part-Anmeldung ergeben, sowie wesentliche Informationen, die nach dem Anmeldedatum der vorherigen Anmeldung und dem Anmeldedatum für inländische oder PCT internationale Anmeldungen der Continuation-in-Part-Anmeldung bekannt wurden.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. 1.56, including for continuation-in-part application(s), material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

German Language Declaration

Ich beanspruche hiermit ausländische Prioritätsvorrechte gemäß 35 U.S.C. 119(a)-(d) bzw. (f) oder gemäß 365(b) aller unten aufgeführten Auslandsanmeldungen für Patente oder Erfinder- bzw. Rechtsurkunden von Pflanzenzüchtern, oder gemäß 365(a) aller PCT internationalen Anmeldungen, welche wenigstens ein Land außer den Vereinigten Staaten von Amerika benennen, und habe nachstehend durch Ankreuzen sämtliche Auslandsanmeldungen für Patente bzw. Erfinder- oder Rechtsurkunden von Pflanzenzüchtern oder PCT internationale Anmeldungen angegeben, deren Anmeldetag dem der Anmeldung, für welche Priorität beansprucht wird, vorangeht.

Prior Foreign Application Number(s)
Anmeldenummern früherer Auslandsanmeldungen

(Application Number) (Anmeldenummer)	(Country) (Land)
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(Application Number) (Anmeldenummer)	(Country) (Land)
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Ich beanspruche hiermit nationale Priorität unter 35 U.S.C. 119(e) aller unten aufgeführten US-Provisional-Anmeldungen.

60/511,673	October 17, 2003
(Application Number) (Anmeldenummer)	(Filing Date) (Anmeldetag)

(Application Number) (Anmeldenummer)	(Filing Date) (Anmeldetag)
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Ich beanspruche hiermit die mir unter 35 U.S.C. 120 zustehenden Vorteile aller unten aufgeführten US-Patentanmeldungen bzw. gemäß § 365(c) aller PCT internationalen Anmeldungen, welche die Vereinigten Staaten von Amerika benennen, und erkenne, insofern der Gegenstand jedes früheren Anspruchs der vorliegenden Patentanmeldung nicht in einer US-Patentanmeldung bzw. PCT internationalen Anmeldung in einer gemäß 35 U.S.C. 112, erster Absatz, vorgeschriebenen Art und Weise offenbart wurde, meine Pflicht zur Offenbarung jeglicher Informationen an, die für die Patentfähigkeit der vorliegenden Patentanmeldung in Einklang mit 37 C.F.R. 1.56 von Belang sind und die im Zeitraum zwischen dem Anmeldetag der früheren Patentanmeldung und dem nationalen oder dem (PCT) internationalen Anmeldetag bekannt geworden sind.

Prior U.S. or International Application Number(s)
Vorherige US- oder internationale Anmeldenummer(n)

(Application Number) (Anmeldenummer)	(Filing Date) (Anmeldetag)
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(Application Number) (Anmeldenummer)	(Filing Date) (Anmeldetag)
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Ich erkläre hiermit, dass alle in der vorliegenden Erklärung von mir gemachten Angaben nach bestem Wissen und Gewissen der Wahrheit entsprechen und ferner dass ich diese Angaben in Kenntnis dessen gemacht habe, dass vorsätzlich falsche Angaben oder dergleichen gemäß 18 U.S.C. 1001 mit Geldstrafe und/oder Gefängnis bestraft werden können, und dass derartige vorsätzlich falsche Angaben die Rechtswirksamkeit der vorliegenden Patentanmeldung oder eines aufgrund der Angaben erteilten Patentes gefährden können.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application(s) which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application(s) having a filing date before that of the application on which priority is claimed.

Priority Claimed?
Priorität beansprucht?
Yes/Ja No/Nein

☐ ☐

☐ ☐

I hereby claim domestic priority under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

I hereby claim benefit under 35 U.S.C. 120 of any United States application(s) or 365(c) of any PCT international application(s) designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in a listed prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge my duty to disclose any information material to the patentability of this application as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Status: patented, pending, abandoned)
(Status: patentiert, anhängig, aufgegeben)

(Status: patented, pending, abandoned)
(Status: patentiert, anhängig, aufgegeben)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

German Language Declaration

VERTRETUNGSVOLLMACHT: Ich ernenne hiermit sämtliche unter der unten gezeigten Kundennummer des US-Patent- und Markenamts (United States Patent and Trademark Office, USPTO) aufgeführten Anwälte von SUGHRUE MION, PLLC, zu meinen Anwälten und ermächtige sie, diese Anmeldung vorzunehmen und alle hiermit verbundenen Geschäfte vor dem US-Patent- und Markenamt abzuwickeln. Ich bin mir bewusst, dass bestimmte unter der Kundennummer aufgeführte Anwälte von Zeit zu Zeit und im alleinigen Ermessen von Sughrue, Mion, PLLC, ausgetauscht werden können. Ich bitte ferner darum, dass sämtliche Korrespondenz im Zusammenhang mit der Anmeldung an die unter derselben Kundennummer des USPTO aufgeführte Anschrift gerichtet wird.

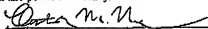
POWER OF ATTORNEY: I hereby appoint all attorneys of SUGHRUE MION, PLLC who are listed under the USPTO Customer Number shown below as my attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, recognizing that the specific attorneys listed under that Customer Number may be changed from time to time at the sole discretion of Sughrue Mion, PLLC, and request that all correspondence about the application be addressed to the address filed under the same USPTO Customer Number.

STATEMENT OF ACCURATE TRANSLATION IN ACCORDANCE WITH 37 C.F.R. §1.69(b):

The declaration and power of attorney is an accurate translation of the corresponding English language declaration and power of attorney.

Signature

Date



4/8/04

WASHINGTON OFFICE

23373

CUSTOMER NUMBER

Telefonische Auskünfte:

SUGHRUE MION, PLLC
(202) 293-7060

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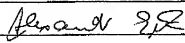
NAME OF SOLE OR FIRST INVENTOR:

Name des einzigen oder ersten Erfinders:

Given Name (first and middle [if any]) Vorname(n) (falls zutreffend)	David	Family Name or Surname Familien- oder Nachname	SHAFFER
Inventor's signature Unterschrift des Erfinders		Date Datum	
Residence: Wohnsitz:	Fairfield, Connecticut	Citizenship Staatsangehörigkeit	United States
Mailing Address: Postanschrift:	56 Drake Lane, Fairfield, CONNECTICUT 06430		

NAME OF SECOND INVENTOR:

Name des zweiten Erfinders:

Given Name (first and middle [if any]) Vorname(n) (falls zutreffend)	Alexander	Family Name or Surname Familien- oder Nachname	EPPLE
Inventor's signature Unterschrift des Erfinders		Date Datum	July 13, 2006
Residence: Wohnsitz:	Aalen, Germany	Citizenship Staatsangehörigkeit	German
Mailing Address: Postanschrift:	Langerstrasse 38, 73431 Aalen, GERMANY		

NAME OF THIRD INVENTOR:

Name des dritten Erfinders:

Given Name (first and middle (if any))

Vorname(n) (falls zutreffend)

Aurelian

Family Name or Surname

Familien- oder Nachname

DODOC

Inventor's signature

Unterschrift des Erfinders

Date

Datum

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Residence:

Wohnsitz:

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Citizenship

Staatsangehörigkeit

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NAME OF FOURTH INVENTOR:

Name des vierten Erfinders:

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Vorname(n) (falls zutreffend)

Wilhelm

Family Name or Surname

Familien- oder Nachname

ULRICH

Inventor's signature

Unterschrift des Erfinders

Date

Datum

July 11th, 2006

Residence:

Wohnsitz:

Aalen, Germany

Citizenship

Staatsangehörigkeit

German

Mailing Address:

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Lederackerring 44, 73434 Aalen, GERMANY

NAME OF FIFTH INVENTOR:

Name des fünften Erfinders:

Given Name (first and middle (if any))

Vorname(n) (falls zutreffend)

Karl-Heinz

Family Name or Surname

Familien- oder Nachname

SCHUSTER

Inventor's signature

Unterschrift des Erfinders

Date

Datum

July 12th, 2006

Residence:

Wohnsitz:

Koenigsbronn, Germany

Citizenship

Staatsangehörigkeit

German

Mailing Address:

Postanschrift:

Rechbergstrasse 24, 89551 Koenigsbronn, GERMANY